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PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. TER-041.1P  
First Inventor RAKIB, et al.  
Title THIN DOCSIS IN-BAND MANAGEMENT FOR  
INTERACTIVE HFC SERVICE DELIVERY  
Express Mail Label No. EV 104611969 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 97]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 24]
5. Oath or Declaration [Total Pages 3]
  - a. ☒ Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))
  - b. ☐ (for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. **POST CARD RECEIPT**
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: 10 / 389,728

Prior application information: Examiner Group Art Unit: 2611

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☒ Correspondence address below

|         |                                      |           |              |                  |
|---------|--------------------------------------|-----------|--------------|------------------|
| Name    | RONALD CRAIG FISH                    |           |              |                  |
|         | RONALD CRAIG FISH, A LAW CORPORATION |           |              |                  |
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|                   |                       |                                   |           |
|-------------------|-----------------------|-----------------------------------|-----------|
| Name (Print/Type) | RONALD CRAIG FISH     | Registration No. (Attorney/Agent) | 28,843    |
| Signature         | <i>Ronald C. Fish</i> | Date                              | 10/2/2003 |

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U.S. PTO  
10/678674



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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$ 1,440.00

## Complete if Known

Application Number  
Filing Date 10/02/2003  
First Named Inventor RAKIB, et al.  
Examiner Name  
Group Art Unit  
Attorney Docket No. TER-041.1P

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number 06-0932
- Deposit Account Name Ronald Craig Fish, a Law Corporation
- ☒ Charge Any Additional Fee Required and Credit Any Overpayments Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:
- ☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description        | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 740 201 370            |                            | Utility filing fee     | 750.00   |
| 106 320 206 160            |                            | Design filing fee      |          |
| 107 490 207 245            |                            | Plant filing fee       |          |
| 108 710 208 355            |                            | Reissue filing fee     |          |
| 114 150 214 75             |                            | Provisional filing fee |          |

**SUBTOTAL (1)** (\$ 750.00

### 2. EXTRA CLAIM FEES

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 35                 | -20** = 15   | x 18.00        | = 270.00 |
| 8                  | -3** = 5     | x 84.00        | = 420.00 |
| Multiple Dependent |              |                |          |

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  |
|----------------------------|----------------------------|--|
| 103 18 203 9               |                            | Claims in excess of 20                                     |
| 102 80 202 40              |                            | Independent claims in excess of 3                          |
| 104 270 204 135            |                            | Multiple dependent claim, if not paid                      |
| 109 80 209 40              |                            | ** Reissue independent claims over original patent         |
| 110 18 210 9               |                            | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** (\$ 690.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 105 130 205 65             |                            | Surcharge - late filing fee or oath  |          |
| 127 50 227 25              |                            | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139 130 139 130            |                            | Non-English specification  |          |
| 147 2,520 147 2,520        |                            | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112 920* 112 920*          |                            | Requesting publication of SIR prior to Examiner action                     |          |
| 113 1,840* 113 1,840*      |                            | Requesting publication of SIR after Examiner action                        |          |
| 115 110 215 55             |                            | Extension for reply within first month                                     |          |
| 116 390 216 195            |                            | Extension for reply within second month                                    |          |
| 117 890 217 445            |                            | Extension for reply within third month                                     |          |
| 118 1,390 218 695          |                            | Extension for reply within fourth month                                    |          |
| 128 1,890 228 945          |                            | Extension for reply within fifth month                                     |          |
| 119 310 219 155            |                            | Notice of Appeal   |          |
| 120 310 220 155            |                            | Filing a brief in support of an appeal                                     |          |
| 121 270 221 135            |                            | Request for oral hearing   |          |
| 138 1,510 138 1,510        |                            | Petition to institute a public use proceeding                              |          |
| 140 110 240 55             |                            | Petition to revive - unavoidable   |          |
| 141 1,240 241 620          |                            | Petition to revive - unintentional   |          |
| 142 1,240 242 620          |                            | Utility issue fee (or reissue)   |          |
| 143 440 243 220            |                            | Design issue fee   |          |
| 144 600 244 300            |                            | Plant issue fee  |          |
| 122 130 122 130            |                            | Petitions to the Commissioner  |          |
| 123 50 123 50              |                            | Processing fee under 37 CFR 1.17(q)  |          |
| 126 180 126 180            |                            | Submission of Information Disclosure Stmt                                  |          |
| 581 40 581 40              |                            | Recording each patent assignment per property (times number of properties) |          |
| 146 710 246 355            |                            | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 710 249 355            |                            | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179 710 279 355            |                            | Request for Continued Examination (RCE)                                    |          |
| 169 900 169 900            |                            | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ 0.00

## SUBMITTED BY

Name (Print/Type) RONALD CRAIG FISH Registration No. (Attorney/Agent) 28,843 Telephone 408-778-3624

Signature *Ronald Craig Fish* Date 10/2/03 10/02/2003

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